

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
GENENT.073A2APPLICATION NO.
09/811,123INFORMATION DISCLOSURE STATEMENT
BY APPLICANTAPPLICANT
ERICKSON et alFILING DATE
March 18, 2001GROUP
1614

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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE (IF APPROPRIATE) |
|------------------|----|-----------------|----------|----------------|-------|----------|------------------------------|
| Alt | 27 | 5,480,968 | 01/02/96 | Kraus et al. | 530 | 326 | 11/10/92 |
| | 28 | 5,677,171 | 10/14/97 | Hudziak et al. | 435 | 240.27 | 08/05/94 |
| | 29 | 5,772,997 | 06/30/98 | Hudziak et al. | 424 | 130.1 | 05/23/95 |
| | 30 | 5,783,186 | 07/21/98 | Arakawa et al. | 424 | 143.1 | 12/05/95 |
| | 31 | 5,821,337 | 10/13/98 | Carter et al. | 530 | 387.3 | 08/21/92 |
| | 32 | 5,824,311 | 10/20/98 | Green et al. | 424 | 138.1 | 11/30/94 |
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| | 34 | 5,840,525 | 11/24/98 | Vandlen et al. | 435 | 69.1 | 05/31/95 |
| | 35 | 5,968,517 | 10/19/99 | Duncan et al. | 424 | 195.1 | 05/22/97 |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|------------------|----|---------------------------|---------------------|----------------|-------|----------|-------------|----|
| | | | | | | | YES | NO |
| Alt | 36 | 0,425,235-A2 | 02.05.91 | EPO | | | | |
| Alt | 37 | WO/89/06692 | 27.07.89 | PCT | | | | |
| Alt | 38 | WO/93/21319 | 28.10.93 | PCT | | | | |
| Alt | 39 | WO/94/22478 | 13.10.94 | PCT | | | | |
| Alt | 40 | WO/94/00136 | 06.01.94 | PCT | | | | |
| Alt | 41 | WO/96/16173 | 30.05.96 | PCT | | | | |
| Alt | 42 | WO/97/00271 | 03.01.97 | PCT | | | | |
| Alt | 43 | WO/97/04801 | 13.02.97 | PCT | | | | |
| Alt | 44 | WO/98/02463 | 22.01.98 | PCT | | | | |
| Alt | 45 | WO/98/17797 | 30.04.98 | PCT | | | | |
| Alt | 46 | WO/99/31140 | 24.06.99 | PCT | | | | |
| Alt | 47 | WO/00/20579 | 13.04.00 | PCT | | | | |
| Alt | 48 | WO/00/69460 | 23.11.00 | PCT | | | | |
| Alt | 49 | WO/01/00238 A1 | 04.01.01 | PCT | | | | |
| Alt | 50 | WO/01/00244 A2 | 04.01.01 | PCT | | | | |

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|---------------------|--------------------|----------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
| Alt | 51. WO-01/15730-A1 | 08-03-01 | PT | | | | |

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| Alt | 53 | Bacus et al., "Differentiation of Cultured Human Breast Cancer Cells (AU-565 and MCF-7) Associated With Loss of Cell Surface HER-2/neu Antigen," <i>Molecular Carcinogenesis</i> , Vol. 3, pp. 350-362 (1990). |
| Alt | 54 | Baselga et al., "Phase II Study of Weekly Intravenous Recombinant Humanized Anti-p185HER2 Monoclonal Antibody in Patients With HER2/neu-Overexpressing Metastatic Breast Cancer," <i>J. Clin. Oncol.</i> , Vol. 14, pp. 737-744 (1996). |
| Alt | 55 | Borst et al., "Oncogene Alterations in Endometrial Carcinoma," <i>Gynecol. Oncol.</i> , Vol. 38, pp. 364-366 (1990). |
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| Alt | 57 | Chari et al., "Immunconjugates Containing Novel Maytansinoids: Promising Anticancer Drugs," <i>Cancer Research</i> , Vol. 52, pp. 127-131 (1992). |
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| Alt | 61 | Drebin et al., "Down-Modulation of an Oncogene Protein Product and Reversion of the Transformed Phenotype by Monoclonal Antibodies," <i>Cell</i> , Vol. 41, pp. 695-708 (1985). |
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| Alt | 64 | Gu et al., "Overexpression of her-2/neu in human prostate cancer and benign hyperplasia," <i>Cancer Letters</i> , Vol. 98, pp. 185-189 (1996). |
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| Alt | 71 | McCann et al., "c-erbB-2 Oncoprotein Expression in Primary Human Tumors," <i>Cancer</i> , Vol. 65, pp. 88-92 (1990). |
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EXAMINER

Anne C. Holleran

DATE CONSIDERED

3/8/2004

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY) | | APPLICANT ERICKSON et al | |
| | | FILING DATE March 18, 2001 | GROUP 1614 |

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|---------------------|---|
| Aut | 74. Pietras et al., "Antibody to HER-2/neu receptor blocks DNA repair after cisplatin in human breast and ovarian cancer cells," <i>Oncogene</i> , Vol. 9, pp. 1829-1838 (1994). |
| Aut | 75. Plowman et al., "Heregulin induces tyrosine phosphorylation of HER4/p180/erbB4," <i>Letters to Nature</i> , Vol. 366, pp. 473-475 (1993). |
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| EXAMINER <i>Anne L. Sullivan</i> | DATE CONSIDERED <i>3/8/2004</i> |
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